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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/809,584	03/15/2001	Mark Rose	1991-00200	5899

23505 7590 01/13/2005

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EXAMINER

DASS, HARISH T

ART UNIT PAPER NUMBER

3628

DATE MAILED: 01/13/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/809,584

Applicant(s)

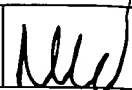
ROSE, MARK

Examiner

Harish T Dass

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 15 March 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-27 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-27 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date <u>3/25/03</u> . | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Specification

The disclosure is objected to because it contains an embedded hyperlink and/or other form of browser-executable code. Applicant is required to delete the embedded hyperlink and/or other form of browser-executable code. See MPEP § 608.01. See Hyperlinks in pages 13-15, paragraphs [0034], [0036] and [0037].

Claim Rejections - 35 USC § 103

1. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1-15 are rejected under 35 U.S.C. 103(a) as being unpatentable over Datek.com (hereinafter Datek) in view of Mutual Fund Newsletter, Volume 1, April 1, 2000 (hereinafter Newsletter).

Re. Claims 1 and 14-15 discloses Datek discloses retrieving from a service provider information regarding a specific security, wherein the information includes a representation of a link to an online brokerage service, actuating the representation, thereby retrieving an order form for the specific security from the online brokerage service, and completing includes entering a password into a corresponding entry field in the order form [see entire document]. Datek does not explicitly discloses completing the

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order form, and submitting the order form to the brokerage service and wherein the order form includes a field to indicate the specific security, and wherein the brokerage service populates the field with a symbol indicating the specific security before providing the order form. However, Newsletter discloses these steps [see entire document] to allow investor to fill up a mutual fund application form online and invest easy way. It would have been obvious to one of ordinary skill in the art at the time the Applicant's invention was made to combine disclosures Datek and Newsletter to allow individuals save his/her ID and password and trade online without entering ID and password when investing next time.

Re. Claim discloses 2-8, Datek discloses wherein the specific security is a particular company's stock, wherein the specific security is a particular mutual fund, wherein the specific security is a particular option, wherein the service provider provides an investment research service, wherein the information includes one or more price quotes for the specific security, wherein the information includes recent news about the specific security, and wherein the representation is a button icon [see entire document].

Re. Claim 9 discloses Datek discloses button icon labels such as "New Account", "Learn More", etc. Neither Datek nor Newsletter explicitly discloses wherein the representation is a button icon with a "Trade Now" label. However, this step is known and it would have been obvious to one of ordinary skill in the art at the time the Applicant's invention was

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made to modify disclosure of Datek and Newsletter and label an icon "Trade Now" to get price or start trading.

Re. Claim 10, Datek discloses wherein the link includes a root portion, a software routine indicator portion, and a parameter portion such as:

http://web.archive.org/web/..//www.datek.com/applications/index_s.html [see entire document].

Re. Claims 11-13, Datek discloses

http://web.archive.org/web/..//www.datek.com/applications/index_s.html. Datek does not explicitly disclose wherein when the specific security is a mutual fund, the software routine indicator indicates a first software routine that generates a mutual fund purchase order form, and wherein when the specific security is a stock or stock option, the software routine indicator indicates a second, different software routine that generates stock and stock option order forms, wherein the parameter portion includes a source parameter indicative of the service provider, and a securities parameter indicative of the specific security, and wherein the parameter portion further includes a transaction parameter indicative of a security type to which the specific security belongs. However, these steps are obvious to one skill in the art to links application program to be executed using hyperlink to retrieve information from server.

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Claims 16-27 are rejected under 35 U.S.C. 103(a) as being unpatentable over Datek.com in view of Barman et al (hereinafter Barman – US 6,226,655).

Re. Claims 16, 20, Datek discloses wherein the third party computer is configured to respond to investment information requests from the investor computer by providing HTML (hyper-text markup language) documents having the investment information and a representation of a link, wherein the link is a URL (uniform resource locator) address of order software on the brokerage computer, and wherein the link includes an indicator of a specific security associated with the investment information [see entire document]. Datek does not explicitly disclose a network, an investor computer coupled to the network, and a brokerage computer coupled to the network, and , and wherein the third party computer implements an investment research service. However, Barman discloses these feature where Yahoo.com is a third party [see entire document particularly Abstract; Figures 1-2, 4-5B; C1 L15 to C2 L62; C5 L46 to C6 L10] to allow the user to retrieve information through a browser connected to a network. It would have been obvious at the time the invention was made to a person having ordinary skill in the art to combine disclosures of Datek and Barman to allow user purchase securities over the Internet.

Re. Claims 17-19, Datek discloses wherein the specific security is a particular company's stock, wherein the specific security is a particular mutual fund, and wherein the specific security is a particular stock option [see entire document].

Re. Claim 21 discloses Datek discloses button icon labels such as "New Account", "Learn More", etc. Neither Datek nor Barman explicitly discloses wherein the representation is a button icon with a "Trade Now" label. However, this step is known and it would have been obvious to one of ordinary skill in the art at the time the Applicant's invention was made to modify disclosure of Datek and Newsletter and label an icon "Trade Now" to get price or start trading.

Re. Claim 22, Datek discloses wherein the link includes a root portion, a software routine indicator portion, and a parameter portion such as:
http://web.archive.org/web/..//www.datek.com/applications/index_s.html [see entire document].

Re. Claims 23-25, Datek discloses
http://web.archive.org/web/..//www.datek.com/applications/index_s.html. Datek does not explicitly disclose wherein when the specific security is a mutual fund, the software routine indicator indicates a first software routine that generates a mutual fund purchase order form, and wherein when the specific security is a stock or stock option, the software routine indicator indicates a second, different software routine that generates stock and stock option order forms, wherein the parameter portion includes a source parameter indicative of the service provider, and a securities parameter indicative of the specific security, and wherein the parameter portion further includes a transaction

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parameter indicative of a security type to which the specific security belongs. However, these steps are obvious to one skill in the art to links application program to be executed using hyperlink to retrieve information from server.

Re. Claims 26-27, Datek discloses wherein the brokerage computer is configured to respond to a request activated by said link by sending an HTML document to the investor computer, wherein HTML document is a securities order form that indicates the specific security associated with the investment information, and wherein the order form includes a password entry field [see entire document].

Conclusion

2. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Applicant is required under 37 CFR ' 1.111 (c) to consider the references fully when responding to this action.

US 6,687,745 to Franco et al, Feb. 3, 2004 "System and method for delivering a graphical user interface of remote applications over a thin bandwidth connection" discloses a computer processing systems and, more particularly, to an object-oriented approach for delivering interactive links to applications and information stored in remote sources of a network.

US 6,195,647 to Martyn et al, Feb. 27, 2001 "On-line transaction processing system for security trading" discloses an online processing of transactions in a multi-user environment. More particularly, the present invention relates to a transaction processing system for a securities market.

US 6,175,823 to Van Dusen, Jan. 16, 2001 "Electronic gift certificate system" discloses an electronic commerce, and more specifically, relates to methods for purchasing, distributing and redeeming electronic gift certificates.

US 6317728 to Kane, Nov. 13, 2001 "Securities and commodities trading system" discloses a securities and/or commodities trading system that includes a computer arrangement communicating with a securities exchange, and has inputs for receiving buy and sell data. The computer arrangement is capable of evaluating the buy/sell data and issuing buy/sell orders in accordance with a plurality of buy/sell rules.

US 6,266,668 to Vanderveldt et al, July 24, 2001 "System and method for dynamic data-mining and on-line communication of customized information" discloses a dynamic search engine and, more particularly, to a dynamic search engine applied to the Internet that allows for customized queries and relevant responses.

US 6,029,146 to Hawkins, Feb. 22, 2000 "Method and apparatus for trading securities electronically" discloses a methods and devices for electronically trading securities and more particularly to a method and device for electronically trading securities between brokers in which trade confirmation is performed automatically.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Harish T Dass whose telephone number is 703-305-4694. The examiner can normally be reached on 8:00 AM to 4:50 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Hyung S Sough can be reached on 703-308-0505. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Harish T Dass
Examiner
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A handwritten signature in black ink that reads "Harish T Dass". The signature is written in a cursive style with a horizontal line underneath the name.

12/9/04